

FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: **Mail**

**Mail Stop ISSUE FEE**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, Virginia 22313-1450**  
**(703) 746-4000**

or Fax

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee applications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

27543 7590 06/06/2005

**APPLIED OPTOELECTRONICS, INC.**  
**13111 JESS PIRTLE BLVD.**  
**SUGAR LAND, TX 77478**

06/14/2005 TBESHAH2 00000013 501705 09917068

01 FC:2501 700.00 DA  
 02 FC:1504 300.00 DA

**Certificate of Mailing or Transmission**  
 I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (703) 746-4000, on the date indicated below.

<b>N. STEPHAN KINSELLA</b>	(Depositor's name)
<i>N. K.</i>	(Signature)
<b>6-13-05</b>	(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/917,068	07/26/2001	Wen-Yen Hwang	PAT030	6245

TITLE OF INVENTION: METHOD AND APPARATUS FOR REDUCING SPECULAR REFLECTIONS IN SEMICONDUCTOR LASERS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	<del>\$1400</del> 700	\$300	<del>\$1700</del> \$1000	09/06/2005
EXAMINER		ART UNIT	CLASS-SUBCLASS		
RODRIGUEZ, ARMANDO		2828	372-099000		

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.  
☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively,  
 (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

**N. STEPHAN KINSELLA**  
**Ari Pramodji**  
 3

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

**Applied Optoelectronics, Inc.****SUGAR LAND, TX**Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

4a. The following fee(s) are enclosed:

- ☒ Issue Fee  
☒ Publication Fee (No small entity discount permitted)  
☐ Advance Order - # of Copies \_\_\_\_\_

4b. Payment of Fee(s):

- ☐ A check in the amount of the fee(s) is enclosed.  
☐ Payment by credit card. Form PTO-2038 is attached.  
☒ The Director is hereby authorized by charge the required fee(s), or credit any overpayment, to Deposit Account Number **50-1705** (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

- ☒ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

The Director of the USPTO is requested to apply the Issue Fee and Publication Fee (if any) or to re-apply any previously paid issue fee to the application identified above.

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature

*N. Stephan Kinsella*  
**N. STEPHAN KINSELLA**

Date

**JUNE 13, 2005**

Typed or printed name

Registration No.

**37,657**

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re: Application of:

Hwang *et al.*

Serial No.: 09/917,068

Filed: 07/26/2001

For: Method and Apparatus for Reducing  
Specular Reflections in Semiconductor  
Lasers

§ Group Art Unit: 2828  
§  
§ Examiner: Rodriguez, Armando  
§  
§ Atty. Docket No.: PAT030  
§  
§ Confirmation No.: 6245  
§  
§

3 PAGES

MAIL STOP ISSUE FEE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**CERTIFICATION OF TRANSMISSION**  
**DATE OF DEPOSIT: June 13, 2005**

I hereby certify that this correspondence is being facsimile  
transmitted to the Patent and Trademark Office (Fax No.  
703-746-4000) under 37 CFR 1.8(a) on the date indicated  
above.

Signature of person transmitting:

  
N. STEPHAN KINSELLA**TRANSMITTAL LETTER**

Enclosed for filing in the referenced case please find the following:

1. Part B - Issue Fee Transmittal (in duplicate).
2. Copy of Filing Receipt showing small entity status.

The Issue Fee transmittal indicates the Applicant is not a small entity and that a large entity issue fee of \$1400 is due. As seen on the attached copy of filing receipt, the applicant is a small entity and should be charged only \$700 for the issue fee. The Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 50-1705 in association with this filing.

Respectfully submitted,

Date: June 13, 2005

Tel: 281-295-1800  
Tel: 281-295-1808 (direct)  
Fax: 281-295-1889

  
N. Stephan Kinsella, Esq.  
Registration No. 37,657  
APPLIED OPTOELECTRONICS, INC.  
13111 Jess Pirtle Boulevard  
Sugar Land, Texas 77478